



IFW 2161

PTO/SB/21 (09-04)

Approved for use through 07/31/2006. OMB 0651-0031
U.S. Patent and Trademark Office; U.S. DEPARTMENT OF COMMERCE

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number.

TRANSMITTAL FORM

(to be used for all correspondence after initial filing)

Total Number of Pages in This Submission

51

Application Number

09/836,694

Filing Date

April 17, 2001

First Named Inventor

Kam, Kendrick W.

Art Unit

2161

Examiner Name

Weisberger

Attorney Docket Number

26592-004US

ENCLOSURES (Check all that apply)

<input type="checkbox"/> Fee Transmittal Form	<input type="checkbox"/> Drawing(s)	<input type="checkbox"/> After Allowance Communication to TC
<input type="checkbox"/> Fee Attached	<input type="checkbox"/> Licensing-related Papers	<input type="checkbox"/> Appeal Communication to Board of Appeals and Interferences
<input type="checkbox"/> Amendment/Reply	<input type="checkbox"/> Petition	<input type="checkbox"/> Appeal Communication to TC (Appeal Notice, Brief, Reply Brief)
<input type="checkbox"/> After Final	<input type="checkbox"/> Petition to Convert to a Provisional Application	<input type="checkbox"/> Proprietary Information
<input type="checkbox"/> Affidavits/declaration(s)	<input type="checkbox"/> Power of Attorney, Revocation	<input type="checkbox"/> Status Letter
<input type="checkbox"/> Extension of Time Request	<input type="checkbox"/> Change of Correspondence Address	<input checked="" type="checkbox"/> Other Enclosure(s) (please identify below):
<input type="checkbox"/> Express Abandonment Request	<input type="checkbox"/> Terminal Disclaimer	Supplemental Search Report, European Patent Office, 4 pgs.
<input checked="" type="checkbox"/> Information Disclosure Statement	<input type="checkbox"/> Request for Refund	WO 99/15950, 45 pgs (2-sided)
<input type="checkbox"/> Certified Copy of Priority Document(s)	<input type="checkbox"/> CD, Number of CD(s) _____	
<input type="checkbox"/> Reply to Missing Parts/Incomplete Application	<input type="checkbox"/> Landscape Table on CD	
<input type="checkbox"/> Reply to Missing Parts under 37 CFR 1.52 or 1.53		

Remarks

SIGNATURE OF APPLICANT, ATTORNEY, OR AGENT

Firm Name	Innovation Law Group, Ltd.		
Signature			
Printed name	Jacques M. Dulin, Esq.		
Date	Nov. 2, 2005	Reg. No.	24,067

CERTIFICATE OF TRANSMISSION/MAILING

I hereby certify that this correspondence is being facsimile transmitted to the USPTO or deposited with the United States Postal Service with sufficient postage as first class mail in an envelope addressed to: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450 on the date shown below:

Signature

Typed or printed name

Betty Oppenheimer

Date

Nov. 2, 2005

This collection of information is required by 37 CFR 1.5. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.11 and 1.14. This collection is estimated to 2 hours to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

If you need assistance in completing the form, call 1-800-PTO-9199 and select option 2.



IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

I am the application of: Kam et al.

Serial No.: 09/836,694

Filed: April 17, 2001

Title: Internet-based System for
Identification, Measurement and Ranking of
Investment Portfolio Management, and
Operation of a Fund Supermarket, including
"Best Investor" Managed Funds

) Attorney Docket No. 26592-004US

) Group Art Unit: 2161

) Examiner: Weisberger

) Telephone: unknown

) Date of Mailing: November 2, 2005

Certification under 37 CFR 1.8

I hereby certify that the correspondence is being deposited with the United States Post Office pre-paid first class mail in an envelope addressed to Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450 on November 2, 2005, 2005

Name: Betty Oppenheimer

Signature: _____

Fourth Supplemental
INFORMATION DISCLOSURE STATEMENT
UNDER 37 CFR §1.97

Mail Stop Amendment
Commissioner for Patents
P.O. Box 1450
Alexandria, VA 22313-1450

Sir:

Applicant discloses the following information under Rule 97:

REFERENCES

[X] The Applicant wishes to make of record the references listed on the attached Form PTO/SB/08A. Copies of the listed references are attached, where required.

[] The Applicant(s) wish to make of record the references cited by the Examiner or submitted by the Applicants in the prior (parent or priority) application _____, filed _____, now U.S. Patent _____ issued _____, and/or in the Search Report for PCT/US _____; and/or in the National Phase § 371 case Serial No. _____ filed _____ (status _____). Where applicable, copies of the prior Information Disclosure Statement and Search Report are attached. Being priority documents, the copies of the references are not required. Applicants can provide the references on request.

RELATED CASE(S)

- ☐ Applicant has filed the following related U.S. application: This application is a Regular US application of Provisional US Application 60/_____ filed and 60/_____. Priority of those applications is claimed.

CERTIFICATION

The undersigned certifies that:

- ☒ No Office Action has been received in this case.
- ☐ The reference(s) disclosed herein were previously disclosed in the original priority application Specification as filed _____, or/and the relevance to the present application described therein.
- ☒ The WIPO patent publication was cited in a communication from a foreign patent office in Applicant's European counterpart foreign application.

FEE PAYMENT

- ☒ No fee is due for the papers being filed herewith.
- ☐ Enclosed is a check in the amount of \$_____ for the fees due under §1.17(p) for the papers being filed herewith.
- ☐ Please charge Deposit Account No. 04-1699 in the amount of \$_____ for the fees due under §1.17(p) for the papers being filed herewith. A duplicate of this sheet is enclosed.
- ☒ If the fees as submitted above are not correct or a fee is required, please charge any additional fees, or credit any overpayment, to Deposit Account No. 04-1699. Please reference the Attorney Docket number 04-1699 in recording any fee charge made.

Respectfully submitted,
Kendrick W. Kam, et al
Applicants

DATE: November 2, 2005

Innovation Law Group, Ltd.
237 North Sequim Ave.
Sequim, WA 98382-3338
Telephone: (360) 681-7305
Facsimile: (360) 681-7315
Email: Dulin@InnovationLaw.com

By Jacques M Dulin
Jacques M. Dulin, Esq.
Registration No. 24,067



Substitute for form 1449-B-13

(Use as many sheets as necessary)

Sheet 1

of 1

PTO/SB/08A (08-03)

U.S. Patent and Trademark Office, U.S. DEPARTMENT OF COMMERCE

U.S. Patent and Trademark Office; U.S. DEPARTMENT OF COMMERCE

Complete if Known

Application Number	09/836,694
--------------------	------------

Filing Date	4/17/2001
-------------	-----------

First Named Inventor	Kam et al.
----------------------	------------

Art Unit	2161
----------	------

Examiner Name	Weisberger, Richard
---------------	---------------------

Attorney Docket Number	26592-004US
------------------------	-------------

U. S. PATENT DOCUMENTS

FOREIGN PATENT DOCUMENTS						
Examiner Initials*	Cite No. ¹	Foreign Patent Document	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages Or Relevant Figures Appear	T ⁶
		Country Code ³ Number ⁴ Kind Code ⁵ (if known)				
	f	WO 99/15950	04-01-1999	Ditmer et al.	throughout	

Examiner Signature		Date Considered	
--------------------	--	-----------------	--

*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 806.01

*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant. ¹ Applicant's unique citation designation number (optional). ² See Kinds Codes of USPTO Patent Documents at www.uspto.gov or MPEP 901.04. ³ Enter Office that issued the document, by the two-letter code (WIPO Standard ST.3). ⁴ For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document. ⁵ Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST.16 if possible. ⁶ Applicant is to place a check mark here if English language translation is attached.

This collection of information is required by 37 CFR 1.97 and 1.98. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 2 hours to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, P.O. Box 1450, Alexandria, VA 22313-1450. **DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.**

If you need assistance in completing the form, call 1-800-PTO-9199 (1-800-786-9199) and select option 2.